

09/12/01

jc923 U.S. PTO

Please type a sign (+) inside this box

+ PTO/SB/05 (08-00)

Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

PS-804

First Inventor

ROSEN, Craig

Title

Human Secreted Proteins

Express Mail Label No.

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

**ADDRESS TO:**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- 1.
- ☒
- Fee Transmittal Form (e.g., PTO/SB/17) (in duplicate)
- 
- (Submit an original, and a duplicate for fee processing)

- 2.
- ☐
- Applicant claims small entity status.
- 
- See 37 CFR 1.27.

- 3.
- ☒
- Specification [Total Pages
- 2248
- ]

(preferred arrangement set forth below)

- Descriptive title of the Invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

- 4.
- ☐
- Drawing(s) (35 U.S.C. 113) [Total Sheets
- 
- ]

- 5.
- ☒
- Declaration [Total Pages
- 4
- ]
- 
- a.
- ☒
- Newly executed (original or copy)
- 
- b.
- ☐
- Copy from a prior application (37 CFR 1.63(d))
- 
- (for continuation/divisional with Box 17 completed)

- i.
- ☐
- DELETION OF INVENTOR(S)**
- 
- Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

- 6.
- ☐
- Application Data Sheet. See 37 CFR 1.76.

- 7.
- ☐
- CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- 
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- 
- a.
- ☒
- Computer Readable Form (CRF)
- 
- b. Specification Sequence Listing on:
- 
- i.
- ☐
- CD-ROM or CD-R (2 copies); or
- 
- ii.
- ☒
- paper (2236 pages)
- 
- c.
- ☒
- Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

- 9.
- ☒
- Assignment Papers (cover sheet and document(s)) (3 pp.)
- 
- 10.
- ☐
- 37 CFR 3.73(b) Statement
- ☐
- Power of Attorney
- 
- 11.
- ☐
- English Translation Document (if applicable)
- 
- 12.
- ☐
- Information Disclosure Statement/ Form PTO/SB/08
- 
- ☐
- Copies of Citations
- 
- 13.
- ☐
- Preliminary Amendment
- 
- 14.
- ☒
- Return Receipt Postcard (MPEP 503)
- 
- (should be specifically itemized)
- 
- 15.
- ☐
- Certified copy of Priority Document(s)
- 
- (if foreign priority is claimed)
- 
- 16.
- ☐
- Other:

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-Part (CIP) of prior application No: 60/278,650 filed March 27, 2001

Prior application information: Examiner

Group/Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label

22195

or ☐ Correspondence address below

NAME

ADDRESS

CITY

STATE

ZIP CODE

COUNTRY

TELEPHONE

FAX

NAME (Print/Type)

Registration No. (Attorney/Agent)

SIGNATURE

Date September 12, 2001

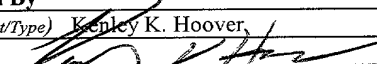
Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete could be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Box Patent Application, Washington, DC 20231.

BOX 509

jc923 U.S. PTO  
09/12/01

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FEE TRANSMITTAL for FY 2001				Complete if Known																																																																																																																																																																																	
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1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to. Deposit Account Number <b>08-3425</b> Deposit Account Name <b>Human Genome Sciences, Inc.</b>  <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17  <input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27  <input type="checkbox"/> Payment Enclosed: <input type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input checked="" type="checkbox"/> Other* Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 08-3425				3. ADDITIONAL FEES <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee Code</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for <i>ex parte</i> reexamination</td><td></td></tr> <tr><td>112</td><td>920</td><td>112</td><td>920</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840</td><td>113</td><td>1,840</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>390</td><td>216</td><td>195</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>890</td><td>217</td><td>445</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,390</td><td>218</td><td>695</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,890</td><td>228</td><td>945</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive -unavoidable</td><td></td></tr> <tr><td>141</td><td>1,240</td><td>241</td><td>620</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,240</td><td>242</td><td>620</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>440</td><td>243</td><td>220</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>600</td><td>244</td><td>300</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>240</td><td>126</td><td>240</td><td>Submission of Information Disclosure Statement</td><td></td></tr> <tr><td>581</td><td>40</td><td>481</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td>\$ 40.00</td></tr> <tr><td>146</td><td>710</td><td>246</td><td>355</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149</td><td>710</td><td>249</td><td>355</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td>179</td><td>710</td><td>279</td><td>355</td><td>Request for Continued Examination (RCE)</td><td></td></tr> <tr><td>169</td><td>190</td><td>169</td><td>900</td><td>Request for expedited examination of a design application</td><td></td></tr> </tbody> </table> Other fee (specify): Other fee (specify):  *Reduced by Basic Filing Fee Paid  <div style="text-align: right;">Subtotal (3) \$ 40.00</div>				Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late provisional filing fee or cover sheet		127	50	227	25	Surcharge - late provisional filing fee or cover sheet		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination		112	920	112	920	Requesting publication of SIR prior to Examiner action		113	1,840	113	1,840	Requesting publication of SIR after Examiner action		115	110	215	55	Extension for reply within first month		116	390	216	195	Extension for reply within second month		117	890	217	445	Extension for reply within third month		118	1,390	218	695	Extension for reply within fourth month		128	1,890	228	945	Extension for reply within fifth month		119	310	219	155	Notice of Appeal		120	310	220	155	Filing a brief in support of an appeal		121	270	221	135	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive -unavoidable		141	1,240	241	620	Petition to revive - unintentional		142	1,240	242	620	Utility issue fee (or reissue)		143	440	243	220	Design issue fee		144	600	244	300	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Petitions related to provisional applications		126	240	126	240	Submission of Information Disclosure Statement		581	40	481	40	Recording each patent assignment per property (times number of properties)	\$ 40.00	146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))		149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))		179	710	279	355	Request for Continued Examination (RCE)		169	190	169	900	Request for expedited examination of a design application	
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Submitted By				Complete (if applicable)																																																																																																																																																																																	
Name (Print/Type) <b>Kenley K. Hoover</b>				Registration No.: 40,302		Telephone 301-610-5771																																																																																																																																																																															
Signature: 				Date		September 12, 2001																																																																																																																																																																															

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Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: ROSEN et al.

Application Serial No.: To be assigned

Art Unit: To be assigned

Filed: Concurrently herewith

Examiner: To be assigned

For: Human Secreted Proteins

Attorney Docket No.: PS-804

**STATEMENT UNDER 37 C.F.R. 1.821(f)**

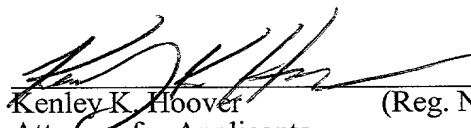
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Applicants hereby certify that the hard copy of the sequence listing being filed concurrently herewith and the enclosed computer-readable form of such sequence listing are identical.

Respectfully submitted,

Date: September 12, 2001

  
Kenley K. Hoover (Reg. No. 40,302)  
Attorney for Applicants

**Human Genome Sciences, Inc.**  
9410 Key West Avenue  
Rockville, Maryland 20850  
Telephone: (301) 610-5771

KKH/DS/lcc

0950002.091001  
T02T60" 20005660

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: ROSEN et al.

Application Serial No.: Unassigned

Art Unit: Unassigned

Filed: Concurrently herewith

Examiner: Unassigned

For: Human Secreted Proteins

Atty. Docket No.: PS-804

**TRANSMITTAL AND SUBMISSION UNDER  
37 C.F.R. §§ 1.824 and 1.52(e)(3)(ii)**

Commissioner For Patents  
Washington, D.C. 20231

Sir:


In accordance with 37 C.F.R. § 1.824, Applicants submit herewith one compact disc (CD-R). The CD-R labeled CRF contains the Sequence Listing to satisfy the computer readable form. A Statement Under 37 C.F.R. § 1.821 is enclosed herewith.

The enclosed CD-R labeled CRF contains the Sequence Listing on the following format specifications:

1. Machine format: IBM-PC
2. Operating System: MS-Windows
3. Name of Files: PS804\_SeqList.txt
4. Size: 6,878,977 bytes
5. Date of Creation: September 10, 2001

Respectfully submitted,

Date: September 12, 2001

  
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KKH/DS/lcc  
Enclosure

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